UNITED
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ADMINISTRATIVE INSTRUCTION

To: Members of the staff

From: The Under-Secretary-General for Conference Services and Special Assignments

Subject: REGULATIONS FOR THE CONTROL AND LIMITATION OF DOCUMENTATION

Addendum

ATTRIBUTION OF AUTHORSHIP IN UNITED NATIONS DOCUMENTS, PUBLICATIONS AND OTHER OFFICIAL PAPERS

A. General principles

1. The following rules on attribution of authorship apply to all United Nations documents and publications and also to papers prepared in the Secretariat in connection with meetings, seminars and technical co-operation projects that do not have sales numbers or document symbols.

2. The rules on attribution should be read in conjunction with those describing the layout of covers and title-pages of publications (ST/AI/189/Add.2 and Amend.1).

3. The general principle to be applied is that publications are issued in the name of the United Nations, while documents emanating from the Secretariat are attributed to the Secretary-General or to the Secretariat.

4. Attribution, either direct or indirect, to individual members of the Secretariat is not permitted in documents, publications or other papers referred to in paragraph 1, nor may such attribution be made in a preface, foreword or introduction, except as otherwise provided on an exceptional basis in section E of the present instruction with regard to United Nations periodicals.

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5. In certain reports prepared under express provisions of resolutions of an organ, the title will necessarily indicate the authorship. If authorship is attributed to a person, that person should be designated by official title, not by name.

B. Attribution to units of the Secretariat

6. The cover and title-page of publications may bear the name of the department, regional commission, major conference or other United Nations body in which the publication originated. Attribution may not normally be made to any unit of the Secretariat smaller than a department, office or regional commission.

7. Mention may also be made, in a preface, foreword or introduction, of any properly identified organizational unit of the Secretariat, normally not below the level of a division, that has had a major responsibility in the preparation of the publication in question.

8. Technical papers prepared in the Secretariat for meetings, seminars and technical co-operation projects shall be attributed to the substantive unit in which they were prepared.

9. Prefatory material in documents may, if appropriate, contain an indication of authorship according to the rule for publications (see para. 7 above).

C. Signature of prefaces and forewords

10. Prefaces and forewords need not necessarily be signed. In publications prepared by the Secretariat, a preface may be signed only by the Secretary-General or, upon his instructions, by an Under-Secretary-General, an Assistant Secretary-General or an official who, by virtue of function, is authorized to assume responsibility for the publication.

D. Letters of transmittal

11. Letters of transmittal addressed to the Secretary-General by committees or groups outside the Secretariat shall not, in their published form, refer by name to members of the Secretariat who have provided assistance in the preparation of a report. When such committees or groups wish to acknowledge such assistance, they should be advised that the appropriate way of doing so is by mentioning the department or office concerned.

E. Attribution to individual members of the Secretariat

12. In cases where the need to engage the responsibility of the United Nations or Secretariat is very low, for example, because of the technical character of a manuscript, heads of relevant United Nations departments and bodies may, in

exercise of authority vested in them by the Secretary-General or by decisions of the competent United Nations organs, as an exception, authorize the attribution of individual authorship of such a manuscript intended for publication in one of the United Nations periodicals identified by the Publications Board in accordance with the provisions of paragraph 14 of the present instruction.

13. In their review and disposition of requests for attribution of authorship, heads of relevant United Nations departments and bodies should be guided, inter alia, by the following criteria:

(a) The contents of the manuscript shall meet the criteria of impartiality;

(b) The contents of the manuscript shall not use or rely on information that has been made available to the United Nations on a privileged basis;

(c) The contents of the manuscript shall not be released as, or form part of, a report or document submitted to intergovernmental bodies and/or engaging the responsibility of the Secretary-General;

(d) The manuscript shall be the result of the independent work of a staff member or staff members submitting a request for attribution of authorship.

14. The Publications Board shall set up and review from time to time the list of the United Nations periodicals where attribution of authorship is permitted.

F. Attribution to consultants

15. Attribution or other reference to consultants specially engaged for the purpose of preparing a publication or paper may, at the discretion of the Secretary-General, be given in a preface, foreword, introduction or footnote, subject to the rules set forth in paragraphs 16 and 17 below.

16. When a paper prepared by a consultant has been heavily revised by a United Nations staff member, attribution to the consultant shall be given in an oblique way, for example by a statement in a footnote or preface that the paper was prepared by the Secretariat with the assistance of the consultant or that the consultant prepared the original draft that served as the basis for the paper. Similar formulas may be used to indicate the relative degree of participation by departments and consultants in various studies and publications.

17. When a consultant is engaged to prepare a policy paper that is to be issued as a report of the Secretary-General, usually in response to a request from a legislative body, authorship of the paper shall not be attributed to the consultant. A reference may in appropriate cases be made, in a footnote, to the consultant's contribution to the paper.

G. Papers and articles by government representatives and by authors outside the United Nations

18. Except as indicated elsewhere in the present instruction, papers and articles prepared by government representatives or officials or by authors outside the United Nations Secretariat may be attributed to them.

H. Attribution to the United Nations and other agencies

19. Where the United Nations and one or more of the specialized agencies, the International Atomic Energy Agency or the General Agreement on Tariffs and Trade are jointly responsible for the preparation of a publication, their names may all appear on the cover and title-page (see ST/AI/189/Add.2 and Amend.1, paras. 19 and 20).

I. Attribution to a Government or foundation

20. Where a Government, foundation or other body has co-operated with the United Nations in the preparation or publication of a paper, it may be given appropriate mention on the cover and the title-page in such terms as the following:

Prepared in co-operation with the Department
of ..... of the Government of .....

Alternatively, acknowledgement may be made in a preface or foreword.

J. Attribution in documents

21. United Nations documents normally bear, in addition to a title corresponding to the agenda item, a subtitle indicating in general terms the entity of authorship or sponsorship. In documents prepared for a body that does not have a sessional agenda, the main title may contain that information.

Examples:

Report of the Secretary-General

Note by the Secretary-General

Algeria: draft resolution

Working paper prepared by the Secretariat

Letter from the Permanent Representative of ... to the United Nations addressed to ...

Report of the Special Committee on ...

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22. Documents originating in the Secretariat shall be attributed to the Secretary-General if they deal with policy questions that engage the responsibility of the Secretary-General or if they involve formal acts carried out by the Secretary-General under a provision of the Charter of the United Nations or of the rules of procedure of an organ or in accordance with a request expressly addressed to the Secretary-General. Documents dealing with detailed and technical matters not requiring policy clearance are normally attributed to the Secretariat.

23. Documents may, as appropriate, be attributed, by official title only, to the presiding officer of a major conference, regional commission or other United Nations body. When a document is attributed to a rapporteur or special rapporteur, the name - and, if a rapporteur, the country - may also be given.

K. Disclaimers

24. When a publication contains component parts attributed to individual authors who are not staff members of the Organization, the prefatory matter shall contain a statement indicating the position of the United Nations towards such material, usually in the form of a disclaimer attributing responsibility for such parts to the respective authors. Such a disclaimer might in a typical case read:

> "The views expressed in signed articles are those of the authors and do not necessarily reflect those of the United Nations."

L. Departure from the rules

25. Departure from these rules may be made only with the personal written permission of the Secretary-General or of the Chairman of the Publications Board.